

**EXECUTIVE SECRETARIAT**  
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SUSPENSE

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Executive Secretary

25 Sept 85

Date

THE WHITE HOUSE  
WASHINGTON

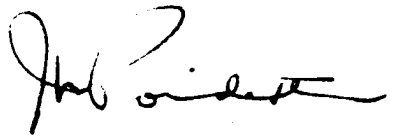
3698

September 24, 1985

MEMORANDUM FOR THE SECRETARY OF STATE  
THE SECRETARY OF DEFENSE  
THE SECRETARY OF ENERGY  
THE DIRECTOR, OFFICE OF MANAGEMENT  
AND BUDGET  
THE DIRECTOR OF CENTRAL INTELLIGENCE  
THE CHAIRMAN, JOINT CHIEFS OF STAFF  
THE DIRECTOR, ARMS CONTROL AND  
DISARMAMENT AGENCY

SUBJECT: Procedures for Development of Arms Control Impact  
Statements

The attached procedures and outline have been approved for the development of Arms Control Impact Statements (ACIS). These procedures should be applied in the preparation of FY87 and subsequent ACIS.

  
for Robert C. McFarlane

Attachments

Tab A New ACIS Procedures  
Tab B Revised outline on ACIS

A



September 13, 1985

Procedure for Developing the  
~~Arms~~ Arms Control Impact Statement (ACIS)

I. GENERAL

A. This directive, created pursuant to Section 35 of the Arms Control and Disarmament Act, establishes the procedure for developing Administration ACIS in compliance with Section 36(b)(2) of the Act. It is the President's intent that the Executive Branch carry out all the provisions of Section 36 of the Act in a manner that will ensure that the arms control implications of programming decisions are thoroughly analyzed and given full consideration as the agencies prepare their annual requests for authorizations and appropriations. Consequently, this procedure is not intended to modify the authorities or obligations of the Director of ACDA as specified in Sections 36(a) or 36(b)(1) of the Act. The Procedure described herein relies significantly on the information exchange directed in Section 36(a) of the Act (see paragraph IIC, below).

B. The Arms Control Impact Statement will consist of an introductory section delineating the Administration's overall policy for arms control matters (formerly called common language), the individual in-depth program cluster analyses (as defined by paragraph III.C and D below and outlined at Tab 1), the abbreviated program analyses (as defined by paragraph III.B and C below), and an appendix of applicable portions of arms control treaties.

II. RESPONSIBILITIES

A. The Assistant to the President for National Security Affairs (APNSA), through the NSC Staff and with inter-agency advice will:

1. determine which programs or program clusters are to have an in-depth arms control analysis created for them;
2. convene the Senior Arms Control Group (SACG) to approve the arms control policy section of the ACIS;
3. arbitrate differences among the agencies as to ACIS content; and
4. obtain Presidential approval of final ACIS (Administration ACIS).

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B. The Arms Control and Disarmament Agency (ACDA) will:

1. designate a senior official to be Chairperson of the Interagency Working Group (IAWG) that is established by paragraph IID below.
2. prepare and submit to the APNSA lists of candidate programs or program clusters for in-depth arms control analyses;
3. prepare first-drafts of in-depth arms control impact analyses for the programs or groups of programs (clusters) approved by the APNSA;
4. convene the Interagency Working Group, as appropriate, during the process of developing "for coordination" draft program cluster analyses;
5. prepare unclassified versions of APNSA approved Administration ACIS; and
6. submit Administration ACIS on behalf of the President to the Congress. (Note: ACDA is also responsible for administratively supporting the ACIS development process.)

C. Affected Departments/Agencies having programs that meet the criteria of Section 36(a) of the Act will:

1. on a continuing basis, provide the Director of ACDA full and timely access to detailed information on the nature, scope, and purpose of the programs for which funds have been requested from the Congress, and in accordance with the procedures established pursuant to Section 35 of the Act;
2. cooperate through the IAWG in developing the ACIS in accordance with the instructions in paragraph IV, below.

D. The ACIS Interagency Working Group will consist of an ACDA Chairperson and senior officials from the Departments of State, Defense and Energy (DoS, DoD, DoE), the Central Intelligence Agency (CIA), the Office of the Joint Chiefs of Staff (OJCS) and the National Security Council (NSC). As directed in paragraph IIB, above, the ACDA Chairperson will be responsible for implementing the process. The IAWG Chairperson will delegate to his/her staff the tasks of preparing the drafts, scheduling IAWG meetings, distributing updated ACIS drafts to the IAWG members, and setting deadlines for the timely consideration of ACIS drafts by the other members. All IAWG representatives are responsible for:

1. designating an official to be the principal officer, point of contact, and attendee at Sub-Group (SG) meetings;
2. ensuring qualified representation of their agency at IAWG SG meetings;
3. ensuring timely submission to ACDA of requested comments on draft arms control analyses of program clusters; and
4. ensuring program cluster analyses drafts have been comprehensively reviewed and that comments have been fully coordinated and approved within the Agency prior to submission to ACDA.

### III. OTHER INSTRUCTIONS

A. Aggregation of Programs in ACIS: Multiple programs may be grouped within a single program cluster analysis provided the programs are logically tied to one another. It is not the intent to develop program clusters by mission area.

B. Low-Impact Candidate ACIS Topics: Programs that meet the nuclear/dollar criteria of Section 36(a) (1)(2) of the Act, but which are judged by the APNSA to have little or no impact on arms control, will not have in-depth program cluster analyses created for them, but will be aggregated as logically as possible within abbreviated program analyses that simply identify the programs and state the judgment that the programs have no significant arms control impact.

C. Research and Development (R&D) Programs that Meet the Nuclear/Dollar Criteria of the Act: The APNSA will judge which such programs require in-depth analyses. The general rule to be applied is that an in-depth analysis is required for each such program that is in a sufficiently advanced stage of R&D that it is seriously being considered for transformation into a new system. Programs in earlier stages of R&D will be aggregated as logically as possible within abbreviated analyses that simply list the programs and state the judgment that the programs have uncertain arms control impact because they are in early phases of R&D.

D. Programs that Meet the Criteria of Section 36(a)(3) of the Act: Other system programs or technology programs with potential military applications that the Director

of ACDA or the head of any other government agency feels may have significant arms control impact, may be proposed as candidate analysis topics. The APNSA will determine whether such programs require in-depth analysis, based on the merits of the arguments concerning the arms control impact of the programs.

E. Programs Not Designated by the APNSA for In-depth Analysis: Exclusion of programs from in-depth treatment does not prevent the Director of ACDA from:

1. continuing to assess and analyze such programs as he deems appropriate under Section 36(b)(1) of the Act; and
2. providing advice and recommendation on the basis of his assessments and analyses to the NSC, OMB and affected government agencies.

F. Prior-Year ACIS and Decisions: Unless there are significant, relevant program or policy changes, or unless new and important arms control impact arguments surface:

1. abbreviated analyses will be submitted for programs for which in-depth analyses were submitted the previous year. These analyses will note that there are no significant changes in the arms control implications of the program from those reported in the previous year's ACIS;
2. for other programs, prior-year decisions on whether or not an in-depth analysis is required for a program will generally stand. Further, if subsequent to the submission to the Congress of the prior year's ACIS, those other programs were the subject of a special report to the Congress which adequately covers ACIS requirements for arms control implications, then only an abbreviated analysis will be submitted.

G. ACIS Security Classification: Analyses will be prepared at the lowest possible security classification levels commensurate with complete arms control assessments. Affected departments/agencies will provide ACDA with a security scrub of all in-depth analyses. ACDA will prepare unclassified versions of the Administration ACIS.

H. Use of Draft Analyses: The various drafts of in-depth program analyses are internal Executive Branch working papers and are not to be released outside the Executive Branch without consent of the APNSA.

## IV. SCHEDULE

Step 1: Early March

ACDA begins process of determining which programs or program clusters require in-depth analyses by examining last year's ACIS and any reports on the arms control implications of weapon programs that were subsequently submitted to Congress. DoD IAWG member ensures that the ACDA IAWG Chairperson is on the distribution list for and receives relevant budgetary and programmatic source documents. This would include the following list (for all Services and Defense Agencies, as appropriate) which will be periodically updated:

- (1) RDT&E Programs (R-1)
- (2) Procurement Programs (P-1)
- (3) Supporting Data for Fiscal Year Budget Estimates Descriptive Summaries (RDT&E)
- (4) Justification of Estimates for Fiscal Year (Procurement)
- (5) Congressional Data Sheets for Fiscal Year (Procurement)
- (6) Defense Advanced Research Projects Agency Budget for Fiscal Year
- (7) The Fiscal Year Department of Defense Program for Research, Development, and Acquisition
- (8) Annual Report to Congress for Fiscal Year

DoE IWAG member provides the DoE Congressional Budget Request for the current Fiscal Year to the Director, ACDA.

Step 2: Early May

Director, ACDA, submits to the APNSA and heads of affected agencies lists of:

- (1) programs which meet the requirements of Section 36(b)(2)(A) of the Arms Control and Disarmament Act, and which ACDA judges are suitable candidates for in-depth program analyses; and



(2) other weapon systems programs or technology programs with potential military applications, which ACDA judges to have significant impact on arms control and disarmament policy and suitable candidates for in-depth program analysis;

The above lists will be accompanied by short statements of ACDA's rationale for judging the programs worthy of in-depth analysis, and short statements of rationale for proposed programs clusters in the ACIS.

Step 3: Late May

IAWG members of affected agencies provide comments on the above list to the APNSA and all other members of the IAWG. If necessary, the NSC chairs an IAWG discussion on changes to the lists.

Step 4: Mid-June

The NSC staff publishes approved lists for ACIS drafts (lists, (1) and (2) above.)

ACDA begins creating first-drafts of analyses for the programs on the approved lists for in-depth program analysis.

Step 5: Early August

ACDA provides the IAWG members a first-draft of arms control policy section.

Step 6: Late August

After receipt of IAWG member comments on the draft arms control policy section, ACDA calls an IAWG meeting (if required) to coordinate a final draft for NSC review and SACG approval.

(The Chairperson of the IAWG should elevate arms control policy issues to the NSC as early as possible for resolution.)

Step 7: Early September

ACDA begins sending first-draft analyses to the agencies for comments. All program cluster arms control impact analyses will be prepared to the maximum extent practicable in accordance with the format of Tab 1. Also, to the extent possible, the more difficult and controversial analyses will be worked first.

Step 8: Early October thru November

Draft analyses are developed via an iterative inter-agency process of comment and coordination, led by ACDA. All affected agencies will make a concerted effort to meet draft consideration schedules promulgated by ACDA. ACDA will number consecutively the drafts of each program cluster analysis.

Step 9: Late-November

ACDA sends abbreviated program analyses to OJCS, DoD, and DoE for comments and coordination.

Step 10: Early December

Draft program cluster analyses are submitted individually to the NSC for review as they are finalized. A draft analysis so submitted is to be fully agreed, or submitted with brackets around alternate formulations of contentious portions of the text. Each bracketed draft analysis is to be accompanied by a short summary of contentious issues and the opposing views on the issues. NSC Staff arbitrates differences among the agencies regarding bracketed portions of the texts as the individual draft analyses are submitted. Draft analyses are to be as complete, yet as concise as practicable.

Step 11: Mid-December

All final coordination drafts are to be submitted to the NSC by this time. Overdue comments and subsequent petitions for change are to be sent directly to the NSC with copies to the other agencies.

Step 12: Early January

The APNSA provides Presidential approval of all final draft in-depth program cluster analyses, as appropriate.

Affected agencies provide ACDA with a security review of all final draft analyses. Utilizing those security reviews, ACDA prepares an unclassified version of the ACIS.

Step 13: Date of Budget Submission

On behalf of the President, ACDA submits classified and unclassified ACIS to the Congress with the Administration's budget.

Step 14: Late February

ACDA will consult with appropriate Congressional committees on effectiveness of the ACIS.

Step 15: Early April

ACIS IAWG will meet to discuss lessons learned from ACIS cycle and plans for new ACIS cycle.



B



September 13, 1985

## ~~==~~ Arms Control Impact Statement

The Arms Control Impact Statement will consist of an introductory section delineating the Administration's overall policy for arms control matters (formerly called common language), the individual in-depth program cluster analyses (as defined by paragraph III.C and D of the procedures and outlined below), the abbreviated program analyses (as defined by paragraph III.B and C of the procedures), and an appendix of applicable portions of arms control treaties.

### Program Cluster Analysis Outline

The appropriate topic headings listed in the following outline will be used as written. The material provided under each topic heading is meant to be suggestive of those areas which should be addressed, and need not be addressed if inappropriate.

#### I. INTRODUCTION

List, as appropriate, programs, Program Elements (PEs), and associated procurements which are included in the system under analysis; justify the aggregation of these particular programs; and make any general comments required (for example, describe any major changes from previous years).

#### II. PROGRAM DESCRIPTIONS

##### A. Program Element/Program.

Brief description of program to cover points such as:

Modernization/new buy/technology development

General physical characteristics/development goals

Performance characteristics/desired capabilities

Plans for the current fiscal year

Plans for the next fiscal year

(Only information that is strictly relevant should be included. Make appropriate reference to other official documents for additional information.)

B. Program Element/Program.

- .
- . (as above)
- .

III. SYSTEM DESCRIPTION

A. US System.

Brief description of the system/potential system of which the PEs are a part

Discuss why development/modernization is necessary (Minimize overlap in description of system and its component PEs.)

B. Soviet Systems.

Brief description of:

Soviet system(s) which is (are) similar to the US system

Soviet system capabilities and limitations

As appropriate, describe efforts the Soviets are pursuing to improve the effectiveness of their system

IV. ANALYSIS ..

(To the extent practical, reference should be made in this section to the arms control policy section, which precedes the set of individual in-depth program cluster analyses and is integral to the Arms Control Impact Statement, and to the treaty appendix.)

A. Consistency with US Arms Control Policy and Related Presidential Decisions.

Describe how the proposed programs complement stated US policy

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B. Relation to Arms Control Treaties and Agreements.

Discuss:

Current system constraints

Programs' perceived/actual compliance with existing obligations

C. Effect on Current and Prospective Negotiations.

Describe programs' consistency with established negotiating positions.

Discuss programs' implications for negotiations, if any.

D. Verifiability.

Discuss, as appropriate:

Soviet's ability to verify US programs

US's ability to verify similar Soviet programs

V. SUMMARY AND OVERALL ARMS CONTROL ASSESSMENT

Briefly provide a "bottom line" assessment of the arms control impact of the system, drawing upon points discussed in the body of the analysis.